

Revision Log

Revision No.	Effective Date	Prepared By	Description of Changes	Affected Pages
R0	10/22/2004	H. Plannerer	This QP replaces Project Directive 99-PD-01 to incorporate record requirements. Other changes include project name change; elimination of the facility name "Facility for Information Management, Analysis and Display" and its acronym, FIMAD; and the replacing of named personnel with position titles.	All

QP-5.16, R0, Access to Digital GIS Resources by Non-Project Personnel

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List of Acronyms and Abbreviations

ECR	Environmental Characterization and Remediation
FOIA	Freedom of Information Act
FTP	file transfer protocol
GIS	geographic information system
LANL	Los Alamos National Laboratory
MOU	memorandum of understanding
OUO	official use only
QP	quality procedure
QPPL	Quality Program Project Leader
RRES-RS	Risk Reduction and Environmental Stewardship—Remediation Services

QP-5.16, R0, Access to Digital GIS Resources by Non-Project Personnel

1.0 PURPOSE

This quality procedure (QP) states the responsibilities and describes the process, circumstances, and conditions for granting non-RRES-RS/ECR personnel access to digital GIS resources within the Los Alamos National Laboratory (LANL or the Laboratory) Risk Reduction and Environmental Stewardship Division (RRES) the Environmental Characterization and Remediation (ECR) Group. This procedure integrates the criteria of the “Risk Reduction and Environmental Stewardship – Remediation Services Project Quality Management Plan,” hereinafter referred to as the “Quality Management Plan.” Spatial feature data created by or modified for the RRES-RS/ECR are considered US Government property.

2.0 SCOPE

2.1 All **RRES-RS/ECR participants** shall implement this mandatory QP prior to granting non-RRES-RS/ECR personnel a network connection to the GIS servers, prior to granting non-RRES-RS/ECR personnel an access account to GIS servers, and prior to granting non-RRES-RS/ECR personnel a copy of digital spatial feature data.

3.0 TRAINING

- 3.1 **RRES-RS/ECR participants** shall train (e.g., read and/or classroom) to and use the current version of this QP; contact the author of this QP if the text is unclear.
- 3.2 **RRES-RS/ECR participants** using this QP shall document training in accordance with QP-2.2, “Personnel Training.”
- 3.3 The responsible **project leader** shall monitor the proper implementation of this procedure.
- 3.4 The responsible **team leader** shall ensure that the appropriate personnel complete all applicable training assignments.
- 3.5 **RRES-RS/ECR participants** may request any needed assistance with implementation of this procedure from ECR Quality Integration and Improvement (QII).

4.0 DEFINITIONS

- 4.1 *Freedom of Information Act*—The Freedom of Information Act of 1967 established requirements for public access to US Government information, documents, and material.
- 4.2 *Geographic information systems*—An organized collection of computer hardware, software, networks, and technical expertise designed to efficiently capture, store, update, manipulate, query, retrieve, analyze, and display all forms of spatially referenced digital information. This resource is used by the RRES-RS/ECR to evaluate associations among geographic features and environmental issues, integrate data sets for modeling, conduct decision support analyses, and perform mathematical and statistical operations for risk analysis and site suitability.
- 4.3 *Memorandum of Understanding (MOU)*—An agreement of cooperation between organizations defining the roles and responsibilities of each organization in relation to the other.
- 4.4 *Metadata*—documentation that characterizes the data set; provides a general assessment of its quality; describes the system of objects and the grid reference that is used to represent features; describes the entities, attributes, attribute values, and related characteristics encoded in the data set; and, provides information about the distributor of and options for obtaining the data set.
- 4.5 *Validation*—a process whereby data and information are accepted for use in the RRES-RS's framework of routine environmental management activities. Validation includes, but is not limited to, verifying attribute field entries against source records, formatting data to comply with attribute field properties, and data review by subject matter experts.

5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in this procedure:

- Deputy Project Director
- GIS task leader
- Non-RRES-RS/ECR data requester
- Project leader
- Quality Program Project Leader
- RRES-RS/ECR participants
- Team leader

6.0 PROCEDURE

6.1 General Conditions Affecting Access to Digital Geographic Information Systems (GIS) Resources

6.1.1 Procedures for processing a request from the **non-RRES-RS/ECR data requester** are subject to the requester's affiliation with the US Government and the LANL. These affiliations are (a) LANL organizations and their subcontractors; (b) US Government / non-LANL, state, and local organizations and their subcontractors; (c) FOIA requests (typically, non-US Government entities requesting data through the Freedom of Information Act); and (d) other requesters.

6.1.2 **RRES-RS/ECR participants** shall not release copies of digital spatial feature data commercially available or obtainable from public holdings.

6.1.3 **RRES-RS/ECR participants** shall not release copies of digital spatial feature data owned and/or stewarded by other LANL programs, projects, or line organizations.

Note: The non-RRES-RS/ECR data requester is directed to contact the appropriate owner and or steward.

6.1.4 **RRES-RS/ECR participants** shall not release invalidated digital spatial feature data.

6.1.5 **RRES-RS/ECR participants** shall ensure data access occurs by means of removable media or with a transfer from its GIS Unit to a non-LANL File Transfer Protocol (FTP) site.

6.1.6 **RRES-RS/ECR participants** shall not permit the non-RRES-RS/ECR data requester access to digital spatial feature data with a network or computer connection to the GIS, unless exceptional circumstances or need exist.

6.1.7 **RRES-RS/ECR participants** shall not transform data representation, modify its data requirements, or create customized themes and databases to meet the non-RRES-RS/ECR data requester's use for the spatial feature data.

6.1.8 **RRES-RS/ECR participants** shall ensure that the Classification Group (S-7) reviews and processes all digital spatial feature data intended for non-LANL release.

6.1.9 **RRES-RS Deputy Project Director** shall perform signatory responsibility for any written instrument that grants the non-

RRES-RS/ECR data requester access to digital spatial feature data.

6.2 Requests from LANL Organizations and their Subcontractors

6.2.1 The **non-RRES-RS/ECR data requester** shall submit requests for digital spatial feature data as follows:

- in writing , or as an e-mail communication
- include a statement of the requested data's intended use and manipulation
- include a statement that the non-RRES-RS/ECR data requester agrees not to redistribute the data without the RRES-RS Deputy Project Director's written consent

6.2.2 The **GIS task leader** shall respond to such a request in writing or as an e-mail communication. The response shall acknowledge receipt of the request, address compliance with the conditions of sections 6.1 and 6.2.1 , and communicate that costs for labor, materials , and supplies associated with data transfer are the responsibility of the requester.

6.2.3 The **GIS task leader** shall draft a Memorandum of Understanding (MOU) in accordance with Appendix A (Memorandum of Understanding Outline) between the RRES-RS/ECR and the non-RRES-RS/ECR data requester prior to data transfer.

6.2.4 The **GIS task leader** shall process agreement to the MOU by all parties in writing or through e-mail communications.

6.3 Requests from US Government (Non-LANL), State, and Local Organizations and their Subcontractors

6.3.1 The **non-RRES-RS/ECR data requester** shall submit requests for digital spatial feature data as follows:

- in writing
- include a statement of the requested data's intended use and manipulation
- include a statement that the non-RRES-RS/ECR data requester agrees not to redistribute the data without the RRES-RS Deputy Project Director's written consent.

6.3.2 The **GIS task leader** shall respond to such a request in writing , acknowledging receipt of the request, addressing

whether the compliance to conditions of sections 6.1 and 6.3.1 exist, and communicating that costs for labor, materials, and supplies associated with data transfer are the responsibility of the requester.

6.3.3 The **GIS task leader** shall draft a Memorandum of Understanding (MOU) in accordance with Appendix A (Memorandum of Understanding Outline) between the RRES-RS/ECR and the non-RRES-RS/ECR data requester prior to data transfer.

6.3.4 The **GIS task leader** shall process the agreement to the MOU by all parties in writing.

6.4 Freedom of Information Act Requests

The Freedom of Information Act (FOIA) of 1967 establishes requirements for public access to US Government information, documents, and material.

6.4.1 The **GIS task leader** shall ensure the receipt of Official Use Only (OUO), FOIA requests through the LANL's Information and Records Management Group (IM-5).

6.4.2 If the RRES-RS Deputy Project Director approves the data transfer, the **GIS task leader** shall respond in writing.

6.4.3 The **GIS task leader** shall ensure that the response is marked as OUO in accordance with DOE O 471.3 and contains reference to sensitivity and limitations of the data, limits and conditions of reproducibility, and any disclaimers.

6.4.4 The **GIS task leader** shall ensure the awareness of the requester that costs for labor, materials, and supplies associated with data transfer are the responsibility of the requester.

6.4.5 The **GIS task leader** shall ensure the processing of OUO, FOIA requests through the LANL's Information and Records Management Group (IM-5).

6.4.6 The **non-RRES-RS/ECR data requester** shall make payment payable to the US Treasury Department.

6.5 Other Requesters

6.5.1 **RRES-RS/ECR participants** shall not provide digital spatial feature data to "other requesters," limiting data transfer to hardcopy maps previously produced in the course of RRES-RS/ECR project activities.

6.5.2 The **GIS task leader** shall inform “other” data requesters that costs exceeding RRES-RS/ECR costs of \$100 for labor, materials, and supplies to generate hardcopy products are the responsibility of and paid by the requester.

Note: To assist the “other” data requester in the selection of relevant data, the GIS retains compilations of RRES-RS/ECR generated cartographic maps. The “other” data requester may request to view the compilations and request full-scale copies.

6.5.3 The **GIS task leader** shall retain a record of the product transfer.

7.0 LESSONS LEARNED

- 7.1 Before performing work described in this QP, **RRES-RS/ECR participants** should go to the Department of Energy Lessons Learned Information Services home page, located at <http://www.tis.eh.doe.gov/II/II.html>, and/or to the LANL Lessons Learned Resources web page, located at http://www.lanl.gov/projects/lessons_learned/, and search for applicable lessons.
- 7.2 During work performance and/or after the completion of work activities, **RRES-RS/ECR participants**, as appropriate, shall identify, document, and submit lessons learned in accordance with the LANL, Lessons Learned System located at http://www.lanl.gov/projects/lessons_learned/.

8.0 RECORDS

The **GIS task leader** shall submit the following records to the Records Processing Facility, in accordance with QP-4.4:

- Correspondence with the non-RRES-RS/ECR data requester
- The signed Memorandum of Understanding
- Related e-mails
- Product transfer record to “other” data requesters

9.0 REFERENCES

To implement properly this QP, **RRES-RS/ECR participants** should become familiar with the contents of the following documents, located at http://erinternal.lanl.gov/home_links/Library_proc.shtml:

- RRES-RS Quality Management Plan
- QP-2.2, Personnel Training Management

- QP-4.4, Record Transmittal to the Records Processing Facility

10.0 ATTACHMENTS

Attachment A: Memorandum of Understanding Outline.

Attachment A: Memorandum of Understanding Outline

I. GUIDING PRINCIPLES

The Guiding Principles should fully identify all the participants and, where appropriate, their representations.

Example dialog:

I. GUIDING PRINCIPLES

This Memorandum of Understanding (MOU), is made and entered into by and among the Earth Geography Organization, hereafter referred to as the "EGO," and the University of California, hereafter referred to as the "University."

The University is the management and operating contractor for the Los Alamos National Laboratory, hereafter referred to as the "Laboratory," pursuant to Contract Number W-7405-ENG-36 for the National Nuclear Security Administration of the US Department of Energy.

II. PURPOSE OF MOU

The Purpose of MOU should briefly state the background of and rationale for pursuing the arrangement.

Example dialog:

II. PURPOSE OF MOU

The purpose of this MOU is to satisfy the requirements of the Laboratory's Risk Reduction and Environmental Stewardship (RRES) Remediation Services Project Quality Procedure QP-5.16, "Access to Digital GIS Resources by Non-Project Personnel," for a request of such digital data from the EGO. The EGO requests a transfer of digital data as described in §.III. The University grants the EGO a current digital copy of the listed data. The EGO agrees to the conditions of this MOU in the use, publication and or display of the transferred data.

III. FEATURE DATA LIST

The Feature Data List section should briefly describe all digital spatial feature data by name, version, data format, and publication date that is covered in the arrangement.

Example dialog:

III. FEATURE DATA LIST

The requested digital data consists of the feature data listed below. The data shall be transferred in ESRI shapefile format with metadata record, if available. All attribute fields shall be transferred with the spatial data.

Potential Release Sites; er_prs_all_reg (2003-0789); published 09 February 2004;
Materials Disposal Areas, er_mda_ply, published 27 August 2002; and,
Waste Storage Features, er_wsf_ply (2003-0194), published 03 March 2003.

IV. INTENDED USE

The Intended Use section should capture the statement by the requester as to the expected use of the data .

Example dialog:

IV. INTENDED USE

The EGO is conducting an independent study under contract with Coronado Western University to develop a process that allows the Laboratory to make informed decisions about the most effective ways to reduce health risks and ecological impacts resulting from contaminant releases and waste management activities at the Laboratory. There are three major activities that shall require information from the §.III feature data. The first is for figures and other graphics that shall be used in reports and presentations for the EGO project. The second is for a stakeholder risk calculator, which shall allow an individual to identify locations and activity patterns to estimate risk associated with release of radionuclides and chemicals from the Laboratory. The third is for fate and transport modeling.

V. SENSITIVITY AND LIMITATIONS OF THE DATA

The Sensitivity and Limitations of the Data section should described the consequences of misuse, misrepresentation, and/or misclassification of the features described by the digital spatial feature data on the goals of the RRES-RS, the LANL, and the Department of Energy. The *Abstract, Purpose, and Completeness Report* shall convey the limitations of the data with the information captured from the metadata for the digital spatial feature data.

Example dialog:

V. SENSITIVITY AND LIMITATIONS OF THE DATA

The requested data are not considered sensitive for national security purposes. However, changes to the data without proper notification of the RRES-RS/ECR could create situations detrimental to the goals of the RRES-RS project, the LANL and the US DOE. Improper classification of the feature data contained in the Potential Release Sites theme may also create a similar consequence. The feature data in §.III are dynamic.

The Potential Release Sites region (polygon) feature class represents the area extents of potential release sites resulting from World War II and the post-war era operations at the Department of Energy (DOE) site known as the Los Alamos National Laboratory (LANL). The terminology, potential release site (PRS), is a generic term that includes the Solid Waste Management Units (SWMUs), the Areas of Concern (AOCs), and the hazardous waste sites listed in the LANL's Hazardous Waste Facility Permit. The theme is a collection of currently recognized extents or boundaries for PRSs irrespective of regulatory status. Absent from this collection is a set of potential release sites that have no discernable boundary.

The Materials Disposal Areas polygon feature class is a legacy data set from the Facility for Information .Management, Analysis and Display. The feature class has no metadata and therefore the source for this information is not documented and the process procedures for converting source information to digital data unknown.

The Waste Storage Features polygon feature class represents the outline of near surface excavations used or planned for the disposal of radioactive wastes. The terminology, waste

storage feature (WSF), is a generic term that includes materials disposal trenches, materials disposal shafts, and absorption beds. Waste storage features are typically associated with a Materials Disposal Area (MDA). This feature class is in development.

VI. CONDITIONS OF REPRODUCIBILITY

The Conditions of Reproducibility should be the statement that the requester shall not redistribute the digital data without the consent of the RRES-RS/ECR.

Example dialog:

VI. CONDITIONS OF REPRODUCIBILITY

The EGO agrees not to redistribute the digital spatial feature data without the written consent of the Remediation Services Project Deputy Project Director.

VII. DISCLAIMER OF LIABILITY

The Disclaimer of Liability should relinquish the LANL, the University of California, and the US Government from any claim to the digital spatial feature data if used for other than its designed purpose.

Example dialog:

VII. DISCLAIMER OF LIABILITY

If modified these data shall not be represented as RRES-RS/ECR data and the extent, source and date of the modification shall be disclosed. The digital spatial feature data were created by or for the personnel of the Remediation Services Project as a component to the databases that are central to the workflow activities of participants. All other uses for these data are disclaimed.

DISCLAIMER. Neither the United States Government nor the University of California nor any of their employees, makes any warranty, express or implied, including the warranties of merchantability and fitness for a particular purpose, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights.

VIII. USE CONSTRAINTS

The Use Constraints section should convey all restrictions and prerequisites for using the data after access approval.

Example dialog:

VIII. USE CONSTRAINTS

Use constraints for the feature data are captured in the metadata record that accompanies the digital data.

IX. CHARGES

The Charges section should convey the cost scenario for conducting the data transfer, and the program code or other method to recover costs.

Example dialog:

IX. CHARGES

The cost for labor, materials and supplies to fulfill this request, as described above, are estimated at one (1) hour of Cartographic Recharge or \$136.-. The cost shall be recovered from cost code 7DQ8800-C0C8-X2N3-1103 (CC-PC-CA-WP) as authorized by Stephen Bombguard.

X. SIGNATORIES

The Signatories section should establish the date on which the MOU shall come into effect and the titles of the individuals who are authorized to sign the MOU.

Example dialog:

This MOU shall come into effect only after both parties below have signed. Now, therefore, the signatory parties have executed this MOU on the dates shown by their signatures.

For the EARTH GEOGRAPHY ORGANIZATION:

_____ Date: _____

Juan Xavier, President
Earth Geography Organization
487 Recycle Drive, Rustler, MN 57601

For the UNIVERSITY OF CALIFORNIA:

_____ Date: _____

David J. McInroy, Deputy Project Director
University of California, Los Alamos National Laboratory
Risk Reduction and Environmental Stewardship Division
Remediation Services Project
PO Box 1663, MS M992, Los Alamos, NM 87545

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If you do not possess a CRYPTOCARD or encounter problems, contact the RRES-ECR training specialist.